

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.
1750.0150000APPLICATION NO.
To be assignedAPPLICANT
Shimko et al.FILING DATE
April 20, 1999GROUP
To be assigned

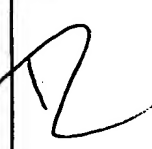
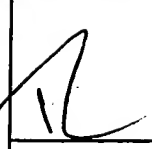

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,802,499	09/1998	Sampson et al.	705	35	
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	1	"National Securities Clearing Corporation," "About NSCC," "Clearance and Settlement," and "A Three-Day Cycle," from http://www.nsccl.com/ and related hyperlinks, 6 Pages, Printed April 20, 1999.
	AS	1	"Chicago Mercantile Exchange An Overview of SPAN®: The Standard Portfolio Analysis of Risk® system for calculating Performance Bond requirements, Parts 1 & 2," from http://www.cme.com/span and related hyperlinks, 9 Pages, Printed April 20, 1999.
	AT	1	The London Clearing House Limited, "Press Release," and "Notes For Editors," July 9, 1998 from http://www.lch.co.uk/Publications and related hyperlinks, 7 Pages, Printed April 20, 1999.

EXAMINER

DATE CONSIDERED

7/01

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2						
	AB2						
	AC2						
	AD2						
	AE2						
	AF2						
	AG2						
	AH2						
	AI2						
	AJ2						
	AK2						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2						Yes No
	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	2	Chicago Mercantile Exchange, "CME Swaps Collateral Depository Report," April 1995, 17 Pages.
AS	2	RiskMetrics - Technical Document, Chps. 6-7, Fourth Edition (December 1996), Morgan Guaranty Trust Company, pp. iii-xii and 103-160 from http://www.riskmetrics.com/rm/pubs/index.html .
AT	2	

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